Attach to paper no. 3

#3

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
JL		4,160,452	07/10/79	Theeuwes	128	260	
JL		4,256,108	03/17/81	Theeuwes	128	260	
JL		4,265,874	05/05/81	Bonsen et al.	424	15	
JL		4,897,355	01/30/90	Eppstein et a.	435	240.2	
JL		5,264,618	11/23/93	Felgner et al.	560	224	
JL		5,459,127	10/17/95	Felgner et al.	514	7	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	TRANSLATION NO
JL		WO 98/19503	05/07/98	~~PCT~~ WIPO				

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
JL	1.	Bukanov, et al., PD-loop: A complex of duplex DNA with an oligonucleotide; *Proc. Natl. Acad. Sci. USA* 95:5516-5520 (1998)
JL	2.	Chemy, et al., DNA unwinding upon strand-displacement binding of a thymine-substituted polyaminde to double-stranded DNA; *Proc. Natl. Acad. Sci. USA* 90:1667-1670 (1993)
JL	3.	Du, et al., Conformational and topological requirements of cell-permeable peptide function; *J. Peptide Res.* 51:235-243 (1998)
JL	4.	Egholm, et al., Efficient pH-independent sequence-specific DNA binding by pseudoisocytosine-containing bis-PNA; *Nucl. Acids Res.*23(2):217-222 (1995)
JL	5.	Felgner, et al., Enhanced Gene Delivery and Mechanism Studies with a Novel Series of Cationic Lipid Formulations; *J. Biol. Chem.* 269(4):2550-2561 (1994)

EXAMINER	DATE CONSIDERED 4/20/04

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	TRANSLATION NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
JZ	6.	Felgner, et al., Lipofection: A highly efficient, lipid-mediated DNA-transfection procedure; *Proc. Natl. Acad. Sci. USA* 84:7413-7417 (1987)
JZ	7.	Felgner, et al., Editorial - Nomenclature for Synthetic Gene Delivery Systems; *Hum. Gene Ther.* 8:511-512 (1997)
JZ	8.	Glennie and Johnson, Clinical trials of antibody therapy; *Immunol. Today* 21:403-410 (2000)
JZ	9.	Gregoriadis, et al., Liposome-mediated DNA vaccination; *FEBS Lett.* 402:107-110 (1997)
JZ	10.	Gregoriadis, et al., Vaccine Entrapment in Liposomes; *Methods* 19:156-162 (1999)

EXAMINER	DATE CONSIDERED 4/20/04

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
JL	11.	Hong, et al., Stabilization of cationic liposome-plasmid DNA complexes by polyamines and poly(ethylene glycol)-phospholipid conjugates for efficient in vivo gene delivery; *FEBS Lett.* 400:233-237 (1997)
JL	12.	Leserman and Barbet, Targeting to cells of fluorescent liposomes covalently coupled with monoclonal antibody or protein A; *Nature* 288:602-604 (1980)
JL	13.	Liu, et al., Factors influencing the efficiency of cationic liposome-mediated intravenous gene delivery; *Nature Biotech.* 15:167-173 (1997)
JL	14.	Mhashilkar,et al., Inhibition of HIV-1 Tat-mediated LTR transactivation and HIV-1 infection by anti-Tat single chain intrabodies; *EMBO J.* 14:1542-1551 (1995)
JL	15.	Mhashilkar, et al., Inhibition of Human Immunodeficiency Virus Type 1 Replication *In Vitro* in Acutely and Persistently Infected Human CD4 Mononuclear Cells Expressing Murine and Humanized Anti-Human Immunodeficiency Virus...; *Hum. Gene Ther.* 10:1453-1467 (1999)

EXAMINER	DATE CONSIDERED 4/20/04

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,048
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
SR	16.	Mhashilkar, et al., **Inhibition of Human Immunodeficiency Virus Type 1 Replication in vitro by a Novel Combination of Anti-Tat single-Chain Intrabodies and NF-KB Antagonists**; *J. Virol.* 71:6486-6494 (1997)
SR	17.	Reichert, **New biopharmaceuticals in the USA: trends in development and marketing approvals 1955-1998**; *Trends Biotechnol.* 16:370-375 (1998)
SR	18.	Rojas,et al., **Controlling Epidermal Growth Factor (EGF)-stimulated Ras Activation in Intact Cells by a Cell-permeable peptide Mimicking Phosphorylated EGF Receptor**; *J. Biol. Chem.* 271:27456-27461 (1996)
SR	19.	Rojas, et al., **Genetic engineering of proteins with cell membrane permeability**; *Nature Biotechnol.* 16:370-375 (1998)
SR	20.	Schwarze, et al., **In Vivo Protein Transduction: Delivery of a Biologically Active Protein into the Mouse**; *Science* 285:1569-1572 (1999)

EXAMINER	DATE CONSIDERED 4/26/04

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
JZ	21.	Schwarze, et al., Protein transduction: unrestricted delivery into all cells?; *Trends Cell Biol.* 10:290-295 (2000)
JZ	22.	Tseng, et al., Transfection by Cationic Liposomes Using Simultaneous Single Cell Measurements of Plasmid Delivery and Transgene Expression; *J. Biol. Chem.* 272:25641-25647 (1997)
JZ	23.	Zelphati, et al., Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA; *Hum. Gene Ther.* 10:15-24 (1999)
JZ	24.	Zelphati, et al., Intracellular Distribution and Mechanism of Delivery of Oligonucleotides Mediated by Cationic Lipids; *Pharm. Res.* 13:1367-1372 (1996)
JZ	25.	Zelphati, et al., Mechanism of oligonucleotide release from cationic liposomes; *Proc. Natl. Acad. Sci. USA* 93:11493-11498 (1996)

EXAMINER	DATE CONSIDERED 4/20/04

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT	APPLICANT Felgner et al.	
(USE SEVERAL SHEETS IF NECESSARY)	FILING DATE December 15, 2000	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
YL	26.	Zelphati, et al., PNA-Dependent Gene Chemistry: Stable Coupling of Peptides and Oligonucleotides to Plasmid DNA; *BioTechniques* 28:304-310 (2000)

EXAMINER YL	DATE CONSIDERED 4/20/04

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Attach to paper no. 4

SHEET 1 OF 1 #4

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046 RECEIVED
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	APPLICANT Felgner et al.	JUN 21 2001
	FILING DATE December 15, 2000	GROUP 2651 Technology Center 2600

OIPE JC18 JUN 18 2001 PATENT & TRADEMARK OFFICE

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)

RECEIVED AUG 22 2001 TECH CENTER 1600/2900

RECEIVED AUG 17 2001 Technology Center 2600

RECEIVED JUL 31 2001 Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	TRANSLATION NO
32	1	WO 99/13719	03/25/99	~~PCT~~ WIPO				
32	2	WO 99/58152	11/18/99	PCT				
32	3	WO 99/08997	02/25/99	~~PCT~~ WIPO				

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	~~4~~	~~International Search Report from PCT/US00/33060~~
32	5	Abal A. M. et al.; "Mechanism of Cationic Lipid / Cell Interactions and a General Strategy for Intracellular Protein Delivery"; *Journal of Cell Biology*, vol. 111, no. 5 part 2; 1990; page 380A.
32	6	Afzelius, P., et al.; "Covalent Modification of Serum Transferrin with Phospholipid and Incorporation into Liposomal Membranes"; Biosciences Information Service, Philiadelphia, PA, US; 1989; database accession no. PREV198987111700 XP002166274.
32	7	Schwendener R.A., et al.; "Comparative Studies of the Preparation of Immunoliposomes with the Use of Two Bifunctional Coupling Agents and Investigation of In-Vitro Immunoliposome-Target Cell Binding By Cytofluorimetry and Electron Microscopy"; Biosciences Information Service, Philadelphia, PA, US; 1990; database accession no. PREV199090083433 XP002166275.
32	8	Zelphati, Oliver, et al.; "Gene Chemistry: Functionally and Conformationally Intact Fluorescent Plasmid DNA"; Biosciences Information Service, Philadelphia, PA. US; January 1, 1999; database accession no. PREV199900098284 XP002166276.
32	9	Zheng, Lian, et al.; "Delivery of Liposome-Encapsulated HIV Type 1 Proteins to Human Dendritic Cells for Stimulation of HIV Type 1-Specific Memory Cytotoxic T Lymphocyte Responses"; *AIDS Research and Human Retroviruses*, vol. 15, no. 11; July 20, 1999; pages 1011-1020.

EXAMINER	DATE CONSIDERED 4/20/2004

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. GTSYS.004A	APPLICATION NO. 09/738,046
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	APPLICANT Felgner, et al.	
	FILING DATE December 15, 2000	GROUP 1635

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
JZ	1	5,459,127	10/1995	Felgner, et al.			
JZ	1	6,075,012	06/2000	Gebeyehu, et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
~~—~~	~~2~~	~~International Search Report re: PCT/US03/13873; Date of mailing of ISR: September 10, 2003.~~
JZ	3	**Walker, et al.**, *"Cationic lipids direct a viral glycoprotein into the class I major histocompatibility complex antigen-presentation pathway"*, Proc. Natl. Acad. Sci. USA, September 1992, Vol. 89, pp. 7915-7918.
JZ	4	**Ljungstrom, et al.**, *"Cellular uptake of adamantyl conjugated peptide nucleic acids"*, Bioconjugate Chem. 1999, Vol. 10, pp. 965-972.

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EXAMINER	DATE CONSIDERED 4/19/2004

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

ATTY. DOCKET NO.	APPLICATION NO.
GTSYS.004A	09/738,048
APPLICANT: Felgner, et al.	
FILING DATE: December 15, 2000	GROUP: 1648

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
JL		6,433,017 B1	08/2002	Felgner, et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	TRANSLATION NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

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EXAMINER	DATE CONSIDERED
	4/19/04

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